SEC Form 3

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **FORM 3** | **UNITED STATES SECURITIES AND EXCHANGE COMMISSION** |  |  |  |  |  |
|  | Washington, D.C. 20549 |  |  |  |  |  |
|  |  | OMB APPROVAL |  |  |  |
|  |  |  |  |  |  |
|  | **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES** |  |  |  |  |  |
|  |  | OMB Number: | 3235-0104 |  |  |
|  |  |  |  |  |
|  |  |  | Estimated average burden |  |  |  |
|  | Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 |  | hours per response: | 0.5 |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |



or Section 30(h) of the Investment Company Act of 1940



1. Name and Address of Reporting Person\*

[Friedrich Amy Christine](http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001707433)

|  |  |  |  |
| --- | --- | --- | --- |
|  | (Last) | (First) | (Middle) |
|  | 711 HIGH STREET |  |  |
|  |  |  |  |
| (Street) |  |  |
|  | DES MOINES | IA | 50392 |

1. Date of Event Requiring Statement (Month/Day/Year)

05/16/2017

3. Issuer Name **and** Ticker or Trading Symbol

[PRINCIPAL FINANCIAL GROUP INC](http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001126328) [ PFG ]

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 4. Relationship of Reporting Person(s) to Issuer |  | 5. | If Amendment, Date of Original Filed (Month/Day/Year) |  |
| (Check all applicable) |  |  |  |  |  |
|  | Director | 10% Owner |  |  |  |  |
| X | 6. | Individual or Joint/Group Filing (Check Applicable Line) |  |
| Officer (give title below) | Other (specify below) |  |
|  | X | Form filed by One Reporting Person |  |
|  | President - USIS |  |  |  |
|  |  |  |  | Form filed by More than One Reporting Person |  |
|  |  |  |  |  |  |

(City) (State) (Zip)

**Table I - Non-Derivative Securities Beneficially Owned**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **1. Title of Security (Instr. 4)** |  |  | **2. Amount of Securities Beneficially Owned** | **3. Ownership Form: Direct 4. Nature of Indirect Beneficial Ownership (Instr. 5)** |  |
|  |  |  | **(Instr. 4)** | **(D) or Indirect (I) (Instr. 5)** |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| Common Stock |  |  | 21,763(1) | D |  |  |  |  |  |
|  | **Table II - Derivative Securities Beneficially Owned** |  |  |  |  |  |  |
|  | **(e.g., puts, calls, warrants, options, convertible securities)** |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **1. Title of Derivative Security (Instr. 4)** | **2. Date Exercisable and** | **3. Title and Amount of Securities Underlying Derivative Security** | **4. Conversion or** | **5. Ownership** | **6. Nature of Indirect Beneficial** |  |
|  | **Expiration Date** | **(Instr. 4)** |  | **Exercise Price** | **Form: Direct (D) or** | **Ownership (Instr. 5)** |  |
|  | **(Month/Day/Year)** |  |  | **of Derivative** | **Indirect (I) (Instr. 5)** |  |  |  |
|  |  |  |  |  | **Security** |  |  |  |  |
|  |  |  |  | **Amount or** |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  | **Date** | **Expiration** |  | **Number of** |  |  |  |  |  |
|  | **Exercisable** | **Date** | **Title** | **Shares** |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| Employee Stock Option (Right to Buy) | 02/24/2012 | 02/24/2019 | Common Stock | 2,600 | 11.07 | D |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| Employee Stock Option (Right to Buy) | (2) | 02/23/2025 | Common Stock | 6,390 | 51.33 | D |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| Employee Stock Option (Right to Buy) | (3) | 02/22/2026 | Common Stock | 11,865 | 37.38 | D |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| Employee Stock Option (Right to Buy) | (4) | 02/27/2027 | Common Stock | 11,710 | 62.78 | D |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| **Explanation of Responses:** |  |  |  |  |  |  |  |  |  |

1. Includes 4,014 shares acquired pursuant to the Principal Financial Group, Inc. Employee Stock Purchase Plan.
2. The option vests in three equal annual installments beginning February 23, 2016.
3. The option vests in three equal annual installments beginning February 22, 2017.
4. The option vests in three equal annual installments beginning February 27, 2018.

**Remarks:**

|  |  |
| --- | --- |
| Patrick A. Kirchner, by Power of Attorney | 05/24/2017 |
| \*\* Signature of Reporting Person |  | Date |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, *see* Instruction 5 (b)(v).

* Intentional misstatements or omissions of facts constitute Federal Criminal Violations *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.**

Power of Attorney

Know all by these presents, that the undersigned hereby constitutes and appoints Daniel J. Houston, Deanna D. Strable-Soethout, Karen E. Shaff, Patrick A. Kirchner

1. execute for and on behalf of the undersigned, in the undersigned's capacity as a beneficial owner of securities of Principal Financial Group, Inc. (the "Company
2. do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such Schedule 13D (or amend
3. take any other action of any type whatsoever in connection with the foregoing which, in the opinion of each such attorney-in-fact, may be of benefit to, in the

The undersigned hereby grants to each such attorney-in-fact power and authority to do and perform any and every act and thing whatsoever requisite, necessary or pro

The Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Schedules 13(d), Forms 3, 4 and 5 or Form 144 with r

From and after the date hereof, any Power of Attorney previously granted by the undersigned concerning the subject matter hereof is hereby revoked.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 16th day of May, 2017.

/s/ Amy C. Friedrich

Name: Amy C. Friedrich

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